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11/13/01
Date

[Signature]
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

LAI et al.

Confirmation No.: 4378

Serial No. 09/846,430

Group Art Unit: Unassigned

Filing Date: April 30, 2001

Examiner: Unassigned

Title: METHODS AND COMPOSITIONS FOR POLYNUCLEOTIDE
ANALYSIS USING GENERIC CAPTURE SEQUENCES

TRANSMITTAL LETTER

Assistant Commissioner for Patents
Box Missing Part
Washington, D.C. 20231

Sir:

This is in response to the Notice to File Missing Parts dated September 10, 2001.

Transmitted herewith for filing are the following documents:

- 1) a copy of the Notice to File Missing Parts;
- 2) a copy of the executed Declaration for Utility Patent Application filed June 20, 2001, with a copy of the return postcard showing the PTO date-stamp of June 25, 2001;
- 3) a Preliminary Amendment w/ version with markings to show changes made;
- 4) a Sequence Listing in paper copy and computer-readable form;
- 5) a Declaration Under 37 CFR §1.825;
- 6) a Blanket Petition for Extension of Time and Authorization to Charge or Credit Deposit Account;
- 7) a check in the amount of \$65 (surcharge, \$65) to cover the fees required.

Applicants claim small entity status.

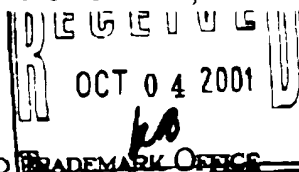
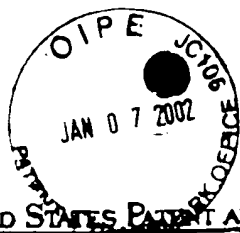
The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-1648.

Respectfully submitted,

Date: NOV 13, 2001

By: *Dahna S. Pasternak*
Dahna S. Pasternak
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/846,430	04/30/2001	Jennifer H. Lai	22564-7002US

CONFIRMATION NO. 4378

FORMALITIES LETTER



OC000000006537811

David W. Maher
McCutchen, Doyle, Brown & Enersen, LLP
18th Floor
Three Embarcadero Center
San Francisco, CA 94111

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Date Mailed 09/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

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- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin2help@uspto.gov or patin3help@uspto.gov

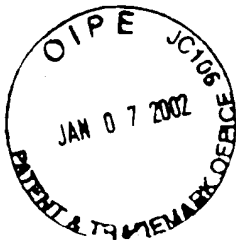
*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



COPY

DECLARATION FOR PATENT APPLICATION

As below named inventor(s),

Jennifer H. LAI

Vincent E. PHILLIPS

Andrew R. WATSON

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We hereby declare that our residence, post office address and citizenship are as stated below next to our name.

We believe we are the original and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHODS AND COMPOSITIONS FOR POLYNUCLEOTIDE ANALYSIS USING GENERIC CAPTURE SEQUENCES, the specification of which

☐ is attached hereto.

☒ was filed on April 30, 2001 as Attorney Docket No. 22564-7002US.

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign applications for patent or inventor's certificate, listed below and so identified, and we have also identified below any foreign application for patent or inventor's certificate on this invention filed by us or our legal representatives or assigns and having a filing date before that of the application on which priority is claimed.

Number	Country	Day/Month/Year Filed

We hereby claim the benefit under Title 35, United States Code, § 120 of any United States applications listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

Application Serial No.	Filing Date

We hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States provisional application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior provisional application and the filing date of this application.

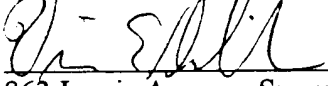
Provisional Application No.	Filing Date
60/200,635	April 28, 2000

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first joint inventor: **JENNIFER H. LAI**

Inventor's signature: _____ Date: _____
Residence 2435 Whitney Drive, Mountain View, CA 94303
Post Office Address:
Citizenship: United States of America

Full name of second joint inventor: **VINCENT E. PHILLIPS**

Inventor's signature:  Date: May 9, 2001
Residence 863 Lewis Avenue, Sunnyvale, CA 94086
Post Office Address:
Citizenship: United States of America

Full name of third joint inventor: **ANDREW R. WATSON**

Inventor's signature: _____ Date: _____
Residence 2170 Emerson Street, Palo Alto, CA 94301
Post Office Address:
Citizenship: United Kingdom



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Serial/Patent No.: 09/846,430 Filing/Issue Date: April 30, 2001
Client: Quantum Dot Corporation
Title: "Methods and Compositions for Polynucleotide Analysis Using Generic Capture Sequences"
Docket No.: 22564-7002US Atty/Secty Initials: DWM:jl
Date Mailed: June 20, 2001 Docket Due Date: _____

The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:

- Transmittal (1 page)
- Declaration for Patent Application (4 pages)
- Return Postcard



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